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*IFW  
Receipt*

April 13, 2006

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: USSN: 10/530,137  
Kevin Jeffrey Barnham, et al.  
Our Docket: 18803

Dear Sirs:

The Filing Receipt for the above-identified patent application does not list Applicant Brenda Kwan name, and the Assignment for Published Patent Information. It should read as follows:

**Brenda Kwan Yi Leung**

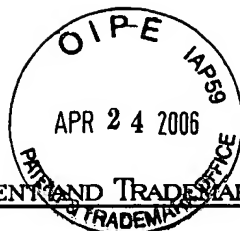
**Assignment For Published Patent Application  
Prana Biotechnology Limited, Parkville, Victoria, Australia**

as indicated on the enclosed pages. Please make the corrections and send us a corrected Filing Receipt.

Very truly yours,

*[Handwritten signature of Scully, Scott, Murphy & Presser]*  
Scully, Scott, Murphy & Presser

SSM&P/tw  
Encl.



## UNITED STATES PATENT AND TRADEMARK OFFICE

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| APPL NO.   | FILING OR 371<br>(c) DATE | ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLMS | IND CLMS |
|------------|---------------------------|----------|---------------|-----------------|----------|----------|----------|
| 10/530,137 | 10/03/2005                | 1615     | 1345          | 18803           | 5        | 34       | 2        |

CONFIRMATION NO. 4715

00272  
 SCULLY, SCOTT, MURPHY & PRESSER  
 400 GARDEN CITY PLAZA  
 SUITE 300  
 GARDEN CITY, NY 11530

## FILING RECEIPT



\*OC000000018025789\*

Date Mailed: 02/10/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Kevin Jeffrey Barnham, Victoria, AUSTRALIA;  
 Elisabeth Colette Louise Gautier, Victoria, AUSTRALIA;  
 Gaik Beng Kok, Victoria, AUSTRALIA;

*Brenda Kwan Yi Leung*

**Power of Attorney:** The patent practitioners associated with Customer Number 00272.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/AU03/01303 10/03/2003

## Foreign Applications

AUSTRALIA 2002951868 10/04/2002  
 AUSTRALIA 2002951864 10/04/2002  
 AUSTRALIA 2002951865 10/04/2002  
 AUSTRALIA 2002951866 10/04/2002

**Projected Publication Date:** 05/18/2006

**Non-Publication Request:** No

**Early Publication Request:** No

**\*\* SMALL ENTITY \*\***

**Title**

Neurologically-active compounds

**Preliminary Class**

514

**PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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**LICENSE FOR FOREIGN FILING UNDER****Title 35, United States Code, Section 184****Title 37, Code of Federal Regulations, 5.11 & 5.15****GRANTED**

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DOCKET NO. 18803

**DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **NEUROLOGICALLY-ACTIVE COMPOUNDS**

the specification of which

(check one)

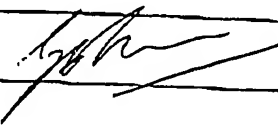
☐ is attached hereto.

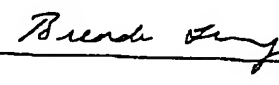
☒ was filed on April 4, 2005 as United States Application No. 10/530,137 or PCT International Application Serial No. \_\_\_\_\_ and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37 Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119 (a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT international application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT international application having a filing date before that of the application on which priority is claimed.

|                                    |   |                     |
|------------------------------------|---|---------------------|
| <b>Full name of third inventor</b> | Gaik Beng Kok   |                     |
| <b>Third inventor's signature</b>  |  | <b>Date</b> 15/9/05 |
| <b>Residence</b>                   | North Carlton, Victoria, Australia  |                     |
| <b>Citizenship</b>                 | Australian  |                     |
| <b>Post Office Address</b>         | 112 Arnold Street, North Carlton, Victoria, 3054 Australia                        |                     |
|                                    |   |                     |

|                                     |   |                     |
|-------------------------------------|---|---------------------|
| <b>Full name of fourth inventor</b> | Brenda Kwan Yi Leung  |                     |
| <b>Fourth inventor's signature</b>  |  | <b>Date</b> 20/9/05 |
| <b>Residence</b>                    | Balwyn, Victoria, Australia   |                     |
| <b>Citizenship</b>                  | Australian  |                     |
| <b>Post Office Address</b>          | 19 Hardwicke Street, Balwyn, Victoria 3103, Australia                             |                     |
|                                     |   |                     |

|                                    |  |             |
|------------------------------------|--|-------------|
| <b>Full name of fifth inventor</b> |  |             |
| <b>Fifth inventor's signature</b>  |  | <b>Date</b> |
| <b>Residence</b>                   |  |             |
| <b>Citizenship</b>                 |  |             |
| <b>Post Office Address</b>         |  |             |
|                                    |  |             |

## TRANSMITTAL LETTER TO THE UNITED STATES

DESIGNATED/ELECTED OFFICE (DO/EO/US) APR 24 2003 U.S. APPLICATION NO. (If known, see 37 CFR 1.5)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371INTERNATIONAL APPLICATION NO.  
PCT/AU2003/001303INTERNATIONAL FILING DATE  
3 October 2003 (03.10.2003)PRIORITY DATE CLAIMED  
4 October 2002 (04.10.2002)

## TITLE OF INVENTION

NEUROLOGICALLY-ACTIVE COMPOUNDS

## APPLICANT(S) FOR DO/EO/US

Kevin Jeffrey Barnham, Elisabeth Colette Louise Gautier, Gaik Beng Kok and Brenda Kwan Yi Leung

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

## Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV213900003US
23. ☒ Other items or information:

A courtesy copy of International Application

Five (5) sheets of drawings

Assignee: PRANA BIOTECHNOLOGY LIMITED of Parkville, Victoria, Australia